

# PROGRAM OPPORTUNITY NOTICE

## Solicitation to Address High Purchase Costs and Disposal Impacts of PEV Battery Packs



PON-12-501

<http://www.energy.ca.gov/contracts/index.html>

State of California

California Energy Commission

October, 2012

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# I. Introduction

## PURPOSE OF PON

Plug-in electric vehicles (PEVs) are a promising and potentially revolutionary technology for reducing California's petroleum dependency, safeguarding the environment, improving public health, and supporting California's economy. The batteries used in PEVs can provide valuable services to the electric grid, utilities, and electricity customers. However, the commercial viability of PEVs faces barriers including high purchase costs and uncertain disposal impacts of PEV battery packs.

This is a competitive grant solicitation sponsored by the Transportation Research Area of the California Energy Commission's (Energy Commission's) Public Interest Energy Research (PIER) Program to address the economic and environmental impacts of PEV battery packs. This solicitation will fund research, development, and demonstration (RD&D) proposals that fall under the following topic areas:

- **Research Topic 1:** Techno-Economic Assessment of PEV Battery Pack Standards
  - Develop tools, methods, and analysis to inform the development of PEV battery pack standards that reduce the life-cycle costs of PEV batteries.
- **Research Topic 2:** Large-Scale Recycling of California's PEV Battery Packs
  - Develop and advance technologies, tools, data, and scientific knowledge that will be needed to enable large-scale recycling that avoids or minimizes the disposal impacts of California's PEV battery packs.

## KEY ACTIVITIES AND DATES

Key activities including dates and times for this Program Opportunity Notice (PON) are presented below. An addendum will be released if the dates change for the asterisked (\*) activities.

| ACTIVITY   | ACTION DATE   |
|--|---|
| PON Release  | October 25, 2012  |
| Pre-Application Workshop*                                | November 15, 2012   |
| Deadline for Written Questions*                          | <del>November 16, 2012</del><br><u>November 19, 2012</u>        |
| Distribute Questions/Answers and Addenda (if any) to PON | Est. November 30, 2012  |
| <b>Deadline to Submit Applications by 3:00 p.m.*</b>     | <del>December 10, 2012</del><br><b><u>December 17, 2012</u></b> |
| Anticipated Notice of Proposed Award Posting Date        | February 2013   |
| Anticipated Commission Business Meeting Date             | May 2013  |
| Anticipated Agreement Start Date                         | 2-4 weeks after<br>Commission Business<br>Meeting Approval      |
| Agreement Termination Date                               | March 31, 2015  |

## **AVAILABLE FUNDING AND HOW AWARD IS DETERMINED**

There is up to \$1.75 million available for the agreement(s) resulting from this PON. Of this amount, the following are the approximate maximum amounts for each of the two Research Topics:

**Research Topic 1:** Techno-Economic Assessment of PEV Battery Pack Standards (\$750,000)

**Research Topic 2:** Large-Scale Recycling of California's PEV Battery Packs (\$1 million)

The Energy Commission reserves the right to modify the agreement amount or to reduce it if the budgeted funds do not provide full funding for agreements. In this event, the Recipient and Commission Agreement Manager (CAM) will meet and reach agreement on a reduced scope of work commensurate with the level of available funding.

## II. Eligibility Requirements

### ELIGIBLE APPLICANTS

This is an open solicitation seeking proposals from public and private entities actively involved in plug-in electric vehicle RD&D. To be eligible, each Applicant must agree to use the version of the PIER Grant Terms and Conditions that corresponds to its organization: (1) University of California terms and conditions; (2) National Laboratory terms and conditions; or (3) general PIER Terms and Conditions. The Terms and Conditions can be viewed at <http://www.energy.ca.gov/contracts/index.html>. Applicants must propose a team with demonstrated capabilities in successful completion of research projects. Publicly-Owned Utilities may not apply.

Researchers are encouraged to partner with others and to aggregate their projects under a single proposal to maximize synergies and agreement efficiencies. Projects can be aggregated by common technology areas, along programmatic lines, or by any other means as long as the proposal has a clear organizational, administrative, and technical structure that meets the requirements of this PON.

#### A. Principal Investigator

Each proposal must identify a “Principal Investigator”, an individual who has the qualifications and appropriate level of authority and responsibility within an organization to lead the proposed research. A person may only serve as a Principal Investigator for one proposal per topic area. There are no other restrictions on the number of proposals that can be submitted. For example, a business, university, national laboratory, or other organization may: (1) submit one proposal for each topic area using the same Principal Investigator; and/or (2) submit multiple proposals to the same topic area using different Principal Investigators.

The Energy Commission, through its scoring committee, reserves the right at its sole discretion to determine whether a person is appropriately listed as the Principal Investigator. Regardless of whether Applicants submit one proposal in separate topic areas with the same Principal Investigator or multiple proposals within the same topic area with different Principal Investigators, each proposal must be submitted separately, and adhere to all requirements of this PON.

#### B. California-Based Entities

Pursuant to California Public Resources Code Section 25620.5(h), the California Energy Commission’s PIER Program must give priority to “California-based entities” (CBEs) when making awards. A CBE is a corporation or other business entity form organized for the transaction of business that either:

- Has its headquarters in California AND manufactures in California the product that is the subject of the award; OR ~~an office in California; and~~
- Has an office for the transaction of business in California AND ~~S~~substantially manufactures the product or substantially performs the research within California that is the subject of the award.

Each proposal must include a CBE as either the recipient or a subcontractor, and Attachment B-2 of the budget must show that at least 60% of PIER funds are allocated to one or more CBEs. Please see **Attachments 10** (California-Based Entity Requirement) and **11** (California-Based Entity Form). Multiple CBEs may be used to meet the 60% requirement. For example, the 60% requirement is met if the recipient CBE receives 31% of PIER funds and the subcontractor CBE receives 29% of PIER funds.

**A California-Based Entity (CBE) Form, Attachment 11, should be completed for each CBE included in the application.**

### **C. Economic Investment in California**

At least 60% of PIER funds must be spent in California on expenses that fall within the categories identified in Attachment B-2 (Category Summary) of Attachment 7 (Budget Forms). These expenses include direct labor, fringe benefits, equipment, materials/miscellaneous, minor subcontractors, indirect overhead, general and administrative costs, and travel costs.

"Spent in California" means that:

- Funds in the "Direct Labor" category and all categories calculated based on direct labor in the B-4 budget attachments (Prime and Subcontractor Labor Rates) are paid to individuals that pay California state income taxes on wages received for work performed under the agreement.
- Business transactions (e.g., material and equipment purchases, leases, and rentals) are entered into with a business located in California.

Airline ticket purchases and payments made to out-of-state workers do not count as "funds spent in California". However, funds spent by out-of-state workers in California (e.g., hotel and food) count as funds spent in California.

Attachment B-2 of the budget must show that at least 60% of PIER funds will be spent in California. Additional points will be awarded to projects that spend over 60% of PIER funds in California according to the scale included in the Scoring Criteria section of this Application Manual.

~~The budget must indicate that **at least 60% of PIER funds will be spent in California**, as required by the budget instructions. Additional points will be awarded to projects that spend over 60% of PIER funds in California.~~

### **D. Registration with the California Secretary of State**

All private corporations are required to register and be in good standing with the California Secretary of State to enter into an agreement with the Energy Commission. If not currently registered with the California Secretary of State, Applicants are encouraged to contact the Secretary of State's Office as soon as possible to avoid potential delays in beginning the proposed project(s) (should the application be successful). For more information, contact the Secretary of State's Office via its website at [www.sos.ca.gov](http://www.sos.ca.gov).

## ELIGIBLE PROJECTS

The Energy Commission is seeking proposals for RD&D projects that advance the commercial viability of PEVs by reducing the purchase costs and disposal impacts of battery packs. Proposals should reflect a comprehensive understanding of the current state of science in the chosen field of RD&D. Successful proposals should: clearly describe the research approach proposed for the project; demonstrate how the project can build upon and improve the existing body of work including previous PIER-funded research; and clearly state what the project's contributions will be to the knowledge base. Projects must focus on one of the following topics:

- **Research Topic 1:** Techno-Economic Assessment of PEV Battery Pack Standards
- **Research Topic 2:** Large-Scale Recycling of California's PEV Battery Packs

Please refer to **Attachment 13** for a description of each Research Topic.

## MATCH FUNDING REQUIREMENTS

Match funding for this solicitation is encouraged but not required for selection. Proposals will be awarded additional points if match funding is provided (please see section 7 of the Scoring Criteria for details). Match funding can be cash or in-kind. In-kind match includes any costs incurred for the project that can be adequately documented and verified. Match funds must be used either before or concurrently with PIER grant funds, but not prior to the date of agreement approval at an Energy Commission Business Meeting. Any funds used prior to approval of the agreement at an Energy Commission Business Meeting cannot be used as match funds.

## PRE-APPLICATION WORKSHOP

There will be one Pre-Application Workshop. Participation in this meeting is optional but encouraged. The Pre-Application Workshop will be held through in-person participation, WebEx, and conference call on the date and at the time and location listed below. Please call (916) 654-4381 or refer to the Energy Commission's website at [www.energy.ca.gov/contracts/index.html](http://www.energy.ca.gov/contracts/index.html) to confirm the date and time.

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November 15, 2012  
**10:00 ~~a.m.~~ pm – 12:00 p.m.**  
California Energy Commission  
Hearing Room B  
1516 9th Street  
Sacramento, CA 95814

**Public participation may take place in-person, via WebEx, and/or via conference call.**

To join the WebEx meeting, click the following link and enter the meeting number and password provided below:

Topic: PEV Battery Pack Solicitation

Date: Thursday, November 15, 2012



Time: 10:00 a.m.

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#### COMPUTER LOGON WITH A DIRECT PHONE NUMBER:

- Please go to <https://energy.webex.com> and enter the unique meeting number: 922 519 490 When prompted, enter your information and the following meeting password: meeting@10
  - After you login, a prompt will appear on-screen for you to provide your phone number. In the Number box, type your area code and phone number and click OK to receive a call back on your phone for the audio of the meeting. International callers can use the "Country/Region" button to help make their connection.
- 

#### COMPUTER LOGON FOR CALLERS WITH AN EXTENSION PHONE NUMBER, ETC.

- Please go to <https://energy.webex.com> and enter the unique meeting number: 922 519 490
  - When prompted, enter your information and the following meeting password: meeting@10
  - After you login, a prompt will ask for your phone number. CLICK CANCEL.
  - Instead call 1-866-469-3239 (toll-free in the U.S. and Canada). When prompted, enter the meeting number above and your unique Attendee ID number which is listed in the top left area of your screen after you login. International callers can dial in using the "Show all global call-in numbers" link (also in the top left area).
- 

#### TELEPHONE ONLY (NO COMPUTER ACCESS)

Call 1-866-469-3239 (toll-free in the U.S. and Canada) and when prompted enter the unique meeting number above. International callers can select their number from <https://energy.webex.com/energy/globalcallin.php>

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#### TECHNICAL SUPPORT

For help with problems or questions trying to join or attend the meeting, please call WebEx Technical Support at 1-866-229-3239.

System Requirements: To see if your computer is compatible, visit <http://support.webex.com/support/system-requirements.html> and refer to the "WBS 26 System Requirements" section at the bottom

Meeting Preparation: The playback of UCF (Universal Communications Format) rich media files requires appropriate players. To view this type of rich media files in the meeting, please check whether you have the players installed on your computer by going to <https://energy.webex.com/energy/systemdiagnosis.php>

Please be aware that the meeting's WebEx audio and on-screen activity may be recorded.

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#### CALENDAR

To add this meeting to your Microsoft Outlook or compatible calendar program, click the following link or copy the link and paste it into your Web browser:

<https://energy.webex.com/energy/j.php?ED=202058897&UID=1423318522&ICS=MI&LD=1&RD=2&ST=1&SHA2=h1H-LxxSJ/1HfA3Q/B4a38H2iE6Ho7D-kw-cP3MsIVw=&RT=MIM0>

## **QUESTIONS**

Questions of clarification about this PON must be directed to the Grants Officer listed in the following section. ~~To facilitate the prompt preparation of responses, please submit all questions in writing by November 16, 2012 for discussion at the November 15, 2012 workshop.~~ If there are additional questions after the workshop, please submit them no later than November 19, 2012 by 4:00 pm for inclusion in the answers to written questions to be posted on the Energy Commission Website. Written questions may be submitted via mail, electronic mail, and by FAX.

Question and answer sets will be e-mailed to all parties who attended the Pre-Application Workshop and provided their contact information on the sign-in sheet. The questions and answers will also be posted on the Commission's website at:

<http://www.energy.ca.gov/contracts/index.html>.

Any verbal communication with a Commission employee concerning this PON is not binding on the State and shall in no way alter a specification, term, or condition of the PON. Therefore, all communication should be directed in writing to the Energy Commission's Grant Officer assigned to the PON.

## **CONTACT INFORMATION**

Crystal Presley-Willis, Grants Officer  
California Energy Commission  
1516 Ninth Street, MS-18  
Sacramento, California 95814  
Telephone: (916) 654- 5067  
FAX: (916) 654-4076  
E-mail: [Crystal.Presley-Willis@energy.ca.gov](mailto:Crystal.Presley-Willis@energy.ca.gov)

### III. Application Format, Required Documents, and Delivery

#### ABOUT THIS SECTION

This section contains the format requirements and instructions on how to submit an application. The format is prescribed to assist the Applicant in meeting State requirements and to enable the Commission to evaluate each application uniformly and fairly. Applicants must follow all application format instructions, answer all questions, and supply all requested data.

#### REQUIRED FORMAT FOR A APPLICATION

All applications submitted under this PON must be typed or printed using a standard 11-point font, singled-spaced with a blank line between paragraphs. Pages must be numbered and sections titled and printed back-to-back. Spiral or comb binding is preferred and tabs are encouraged. Binders are discouraged. The original application should be bound only with a binder clip.

#### NUMBER OF COPIES

Applicants must submit the original and 6 copies of the application.

Applicants must also submit electronic files of the application on **CD-ROM or a USB memory stick** along with the paper submittal. Only one CD-ROM or USB memory stick is needed. Electronic files must be in Microsoft Word XP (.doc format) and Excel Office Suite formats. Completed Budget Forms, Attachment 7, must be in Excel format. Electronic files submitted via e-mail will not be accepted.

#### PACKAGING AND LABELING

The original and copies of the application must be labeled "Program Opportunity Notice PON-12-501" and include the title of the application. Include the following label information and deliver your application in a sealed package:

Contact Person's Name and Phone #

Applicant's Name

Street Address

City, State, Zip Code

FAX #

PON-12-501

Contracts, Grants & Loans Office, MS-18

California Energy Commission

1516 Ninth Street, 1st Floor

Sacramento, California 95814

## **PREFERRED METHOD FOR DELIVERY**

An Applicant may deliver an application by:

- U.S. Mail
- In Person
- Courier service

Applications must be delivered **no later than 3:00 p.m.** to the Commission Contracts, Grants and Loans Office during normal business hours and prior to the date and time specified in this PON. In accordance with Public Contract Code Section 10344, applications received after the specified date and time are considered late and will not be accepted. There are no exceptions to this law. Postmark dates of mailing, E-mail and facsimile (FAX) transmissions are not acceptable in whole or in part, under any circumstances.

## **ORGANIZE YOUR APPLICATION AS FOLLOWS**

### **SECTION 1, Administrative Response**

- |                                 |              |
|---------------------------------|--------------|
| 1. Application Form/ Cover Page | Attachment 1 |
| 2. Table of Contents            |              |

### **SECTION 2, Technical and Cost Application**

- |   |               |
|---|---------------|
| 1. Executive Summary                              |               |
| 2. Project Narrative                              |               |
| 3. Project Team Description                       |               |
| 4. Client References                              |               |
| 5. Scope of Work Instructions                     | Attachment 2  |
| 6. Scope of Work Template                         | Attachment 3  |
| 7. Prevailing Wage Special Conditions             | Attachment 4  |
| 8. Prevailing Wage Compliance Certificate         | Attachment 5  |
| 9. Information on Compliance with Prevailing Wage | Attachment 6  |
| 10. Budget Forms                                  | Attachment 7  |
| 11. Schedule                                      | Attachment 8  |
| 12. CEQA Worksheet                                | Attachment 9  |
| 13. California-Based Entity Requirement           | Attachment 10 |
| 14. California-Based Entity Form                  | Attachment 11 |
| 15. Sample Resolution                             | Attachment 12 |

## PROPOSAL REQUIREMENTS

### 1. Application Form

Applicants must include a complete and signed Application Form. The proposal must include an original signature by an authorized representative of the Applicant's organization. This signature certifies that all information in the application is correct and complete to the best of the applicant's knowledge, that the applicant has read the Terms and Conditions and will accept them without negotiation if awarded.

### 2. Executive Summary

The Executive Summary must include, at a minimum, a project description, project objectives, and quantitative and measurable goals to be achieved. The maximum length of the Executive Summary is **four (4) pages**.

### 3. Project Narrative

The Project Narrative must include a detailed description of the proposed project(s), including the entity that will own and operate the project(s) and the operational goals and objectives of the project(s). The maximum length of the project narrative is **twelve (12) pages**. The narrative must include:

- A clear statement of which research topic has been selected (please see Attachment 13 for a description of each research topic).
- A detailed discussion of how the proposed project addresses each of the scoring criteria. Provide sufficient detail so that reviewers will be able to evaluate the proposal against each of the criteria.
- A description of the current status of research in the area of the proposed project, barriers to advancement of the research area, and why the proposed project is the next logical step to advance scientific understanding in the research area.
- A description of project collaboration and coordination, especially the pathway to wider use of the research products.
- Project budget information, including the source(s) and use of match funding, a justification for any in-kind match funding, an explanation of how funds will be spent in California, and the reasons why the project is not likely to be funded by competitive or regulated markets.
- Any other significant factors to enhance the value of the proposal, including highlights of previous work and innovative features related to the proposed project.

The description of activities proposed in the Project Narrative must conform to the tasks described in the Scope of Work.

### 4. Scope of Work Instructions

Please review and follow the instructions for completing the Scope of Work.

### 5. Scope of Work

Instructions for completing the Scope of Work as well as a sample are included in Attachment 2. **Electronic files for the Scope of Work must be in MS Word.**

The Scope of Work should provide anticipated direct and indirect benefits to California electricity ratepayers. All work must be scheduled for completion by March 31, 2015 including six months of data collection and reporting.

## 6. Schedule

All work must be scheduled for completion by March 31, 2015 including six months of data collection and reporting. **Electronic files for the Schedule of Products and Due Dates must be in MS Excel.**

## 7. Project Team Description

- Identify by name all key personnel assigned to the project, including the project manager, and clearly describe their individual areas of responsibility. The project manager is the individual responsible for interacting with the Energy Commission Grant Manager on all issues relating to the overall project and coordinating all aspects of work under the project.
- For each individual, include: (1) company; (2) position title; (3) job description; (4) individual resume (maximum of two pages); and (5) contact information.
- Include a letter of commitment from key project partners.
- Provide a list of past projects detailing relevant technical and business experience.

## 8. Budget

### A. Budget Forms

|  |                                 |
|--|---------------------------------|
| Task Summary                           | Attachment 7, Attachment B-1    |
| Category Summary                       | Attachment 7, Attachment B-2    |
| Prime Labor Rates                      | Attachment 7, Attachment B-3    |
| Labor Rates for each Subcontractor     | Attachment 7, Attachment B-3a-z |
| Prime Non-Labor Rates                  | Attachment 7, Attachment B-4    |
| Non-Labor Rates for each Subcontractor | Attachment 7, Attachment B-4a-z |
| Direct Operating Expenses              | Attachment 7, Attachment B-5    |
| Match Funding                          | Attachment 7, Attachment B-6    |
| Loaded Hourly Rate Calculation         | Attachment 7, Attachment B-7    |
| Rates Summary                          | Attachment 7, Attachment B-8    |

The applicant must submit information on **all** of the attached budget forms, and this will be deemed the equivalent of a formal Cost Application. Detailed instructions for completing these forms are included at the beginning of Attachment (Budget Forms).

Rates and personnel shown must reflect rates and personnel the applicant would charge if chosen as the Recipient for this PON. The salaries, rates, and other costs entered on these forms become a part of the final agreement.

The entire term of the agreement and projected rate increases must be considered when preparing the budget. The rates bid are considered capped and shall not change during the term of the agreement. The Recipient will only be reimbursed for its **actual** rates up to these rate caps. The hourly rates provided in all B-3s must be unloaded (before fringe benefits, overheads, general & administrative (G&A) or profit).

**NOTE:** The information provided in these forms will not be kept confidential.

#### Attachment B-8: Rates Summary

This attachment will be used for the purposes of calculating the Unloaded versus Loaded Hourly Rates Ratio in the evaluation criteria. This attachment compares the weighted unloaded rate to the weighted loaded rate. This ratio, which is a percentage, is multiplied by the possible points for the criterion. Fill in budget worksheets Att B1 through Att B6 for the Prime and all major subcontractors. Sheets B7 (including B7a-z) and B8 will fill in automatically. Applicants must include all possible classifications on Att B3 as no new classifications may be added during the agreement.

#### B. Budget Requirements

- 1) All project expenditures (match share and reimbursable) must occur within the approved term of the agreement.
- 2) The Budget should allow for the expenses of a Kick-off Meeting, at least one Critical Project Review meeting, and a Final meeting. It is anticipated that meetings will be conducted at the Energy Commission, located in Sacramento, CA.
- 3) Applicants should budget for permits, insurance, etc. The Energy Commission will not pay for permitting, but it may be accounted for in match share.
- 4) The Budget should allow for the preparation and submission of monthly/quarterly progress reports (1-2 pages each) and a Final Report during the approved term of the agreement. Instructions for preparing the Final Report will be provided to successful applicants.
- 5) Equipment (defined as items with a unit cost greater than \$5,000 and a useful life of greater than one year) purchased with Energy Commission funds will require disposition at the end of the project. Typically, Grant Recipients may continue to use equipment purchased with Energy Commission funds if the use is consistent with the intent of the original Grant Agreement. *There are no disposition requirements for equipment purchased with match share funding.*
- 6) The Budget must reflect estimates for actual costs to be incurred during the approved term of the project. The Energy Commission can only approve and reimburse for actual costs that are properly documented in accordance with the Grant Terms and Conditions.
- 7) The Budget must NOT include any profit from the proposed project, either as a reimbursed item or as match share. Please review the Grant Terms and Conditions for additional restrictions and requirements.
- 8) In addition to cost forms, Applicants must submit letters of commitment identifying the source(s) and availability of match funding.

#### 9. Prevailing Wage Special Condition

This condition identifies prevailing wage compliance requirements.

**10. Prevailing Wage Compliance Certificate**

If the project requires payment of prevailing wages, the Recipient must: (1) complete and sign this certificate; and (2) obtain signatures from all of its contractors and any subcontractors involved in public works funded by this Agreement.

**11. Information on Compliance with Prevailing Wages**

This question and answer form clarifies the prevailing wage compliance requirement.

**12. CEQA Worksheet**

The Energy Commission requires the information in this worksheet to assist its evaluation under the California Environmental Quality Act (California Public Resources Code Section 21000 et. seq.)



## **IV. Evaluation Process and Criteria**

### **ABOUT THIS SECTION**

This section describes the evaluation and scoring processes for applications.

### **APPLICATION EVALUATION**

Applications will be evaluated and scored based on their response to the information requested in this PON. The entire evaluation process from receipt of applications to posting of the Notice of Proposed Award (NOPA) is confidential. To evaluate all Applications, the Energy Commission will organize an Evaluation Committee. The Evaluation Committee may consist of Energy Commission staff or staff of other California state entities.

During the evaluation process, the Evaluation Committee may schedule a clarification interview with an applicant that will either be held by telephone or in person at the Energy Commission for the purpose of clarification and verification of information provided in the proposal. However, these interviews may not be used to change or add to the contents of the original Proposal.

### **NOTICE OF PROPOSED AWARD**

The results of the Energy Commission's decision of proposed funding level, the rank order of proposers, and the amount of each proposed award will be posted in a NOPA. The Commission will post a NOPA at the Commission's headquarters in Sacramento and on its web site, and will mail the NOPA to all parties that submitted an application.

### **DEBRIEFINGS**

Unsuccessful applicants may request a debriefing after the release of the NOPA. A request for debriefing must be received no later than 15 days after the NOPA is released.

## SCORING SCALE

Using this Scoring Scale, the Evaluation Committee will give a score (% of possible points) for each criterion described in Scoring Criteria. The % of possible points will be multiplied by the possible points for each criterion.

| <b>% of Possible Points</b> | <b>Interpretation</b> | <b>Explanation for Percentage Points</b>  |
|-----------------------------|-----------------------|---|
| 0%                          | Not Responsive        | Response does not include or fails to address the requirements being scored. The omission(s), flaw(s), or defect(s) are significant and unacceptable.   |
| 25%                         | Minimally Responsive  | Response minimally addresses the requirements being scored. The omission(s), flaw(s), or defect(s) are significant and unacceptable.  |
| 50%                         | Inadequate            | Response addresses the requirements being scored, but there are one or more omissions, flaws, or defects or the requirements are addressed in such a limited way that it results in a low degree of confidence in the proposed solution.                            |
| 70%                         | Adequate              | Response adequately addresses the requirements being scored. Any omission(s), flaw(s), or defect(s) are inconsequential and acceptable.   |
| 80%                         | Good                  | Response fully addresses the requirements being scored with a good degree of confidence in the Applicant's response or proposed solution. No identified omission(s), flaw(s), or defect(s). Any identified weaknesses are minimal, inconsequential, and acceptable. |
| 90%                         | Excellent             | Response fully addresses the requirements being scored with a high degree of confidence in the Applicant's response or proposed solution. Applicant offers one or more enhancing features, methods or approaches exceeding basic expectations.                      |
| 100%                        | Exceptional           | All requirements are addressed with the highest degree of confidence in the Applicant's response or proposed solution. The response exceeds the requirements in providing multiple enhancing features, a creative approach, or an exceptional solution.             |

## SCORING CRITERIA

### 1. Technical Merit

Possible Points: 20

- The proposal presents a clear and concise description of the project goal, objectives, technological advancement, and innovation.
- The proposal demonstrates an understanding of the status of technologies related to the Program Opportunity Notice.

- The proposed technical approach and likelihood of success based on the soundness of scientific principles in the proposed work is valid.
- The proposal provides an adequate discussion of how the proposed research addresses current barriers and knowledge gaps in relation to the Research Topic.
- The proposal discusses the degree to which the research scope expands on what is suggested in the Research Topic.
- The proposal provides letters of support and/or commitment that demonstrate a benefit to the project from auto manufacturers, battery companies, standards organizations, utilities, and other key partners as appropriate for the proposed project.

## **2. Technical Approach**

Possible Points: 25

- The proposal identifies the major tasks, sub-tasks, and deliverables in a logical order, and provides a detailed project plan explaining how tasks will be executed and coordinated with various participants and team members.
- The technical approach is clearly stated, achievable, and technically and economically feasible in responding to the Research Topics.
- The project includes appropriate plans to initiate and sustain transfer of the project results, including the development of a project advisory committee comprised of key stakeholders from the auto industry, utilities, government, and research institutions.
- The Scope of Work (Attachment 2 and 3), Budget Workbook (Attachment 7), Schedule (Attachment 8), and any other required documents are prepared completely and accurately, and are appropriate for the work being proposed.

## **3. Technical Qualifications, Management, and Project Team**

Possible Points: 15

- The proposal provides evidence of organizational experience, knowledge, capabilities, and performance records.
- Demonstrated ability to complete the project within the available timeframe.
- The project manager can successfully manage the project, control costs, maintain the schedule, and report results and accomplishments in an effective manner.
- The project team has the experience, skills, and connections to the marketplace and industry partners to help ensure the successful market transfer of the technology, product(s), and knowledge that result from the project.
- The proposal clearly identifies key members of the project team including major subcontractors and other partners, with their roles and responsibilities. Describe any collaboration with utilities, industries, and/or other stakeholders who can help achieve the project goals, overcome barriers, create market acceptance, and deploy the project results. Explain the nature of the collaboration and how collaborators will contribute to the project.

- Provide a summary of the qualifications, experience, capabilities, and credentials of the key team members. Also describe the facilities, infrastructure, and resources available to the project team to conduct the work. This summary, not individual resumes, will be used to evaluate the technical expertise of the team.

#### **4. Project Budget**

Possible Points: 5

- Project cost is consistent with the proposed work and deliverables to be provided.
- Project personnel rates, operating expenses, and overhead costs are reasonable for the proposed work and are consistent with experience of the project team.
- The expected PIER funding is appropriate and consistent with the expected level of public benefits resulting from the proposed project.

#### **5. Unloaded versus Loaded Hourly Rates Ratio**

Possible Points: 10

Weighted Average Unloaded Hourly Labor Rate/ Weighted Average Loaded Labor Rate ratio (Cost Points). The Score for this criterion will be derived from Attachment 5 Budget Forms (Att B8 Rates Summary worksheet) which compares the weighted unloaded rate to the weighted loaded rate. This ratio, which is a percentage, is multiplied by the possible points for this criterion. Fill in budget worksheets Att B1 through Att B6 for the Prime and all major subcontractors. Sheets B7 (including B7a-z) and B8 will fill in automatically. Applicants must include all possible classifications on Att B3 as no new classifications may be added during the agreement

#### **6. Economic Investment in California**

Possible Points: 20

To earn points in this category, the proposal budget must document how the project will spend more than 60% of PIER funds in California, in accordance with the budget instructions.

Scoring for Economic Investment in California – technical evaluation criteria

| <b>% of Possible Points</b> | <b>Percentage of PIER Funds Spent in California</b> |
|-----------------------------|---|
| 10                          | 60% to 64%  |
| 20                          | 65% to 68%  |
| 30                          | 69% to 72%  |
| 40                          | 73% to 76%  |
| 50                          | 77% to 80%  |
| 60                          | 81% to 84%  |
| 70                          | 85% to 88%  |
| 80                          | 89% to 92%  |
| 90                          | 93% to 96%  |
| 100                         | 97% to 100%   |

## 7. **Match Funding**

Possible Points: 5

**Match funding is not required. However, proposals that include match funding will receive additional points as specified below.**

### **Scoring for Match Funding – technical evaluation criteria**

| <b>% of Possible Points</b> | <b>Percentage of Match Funding</b>                         |
|-----------------------------|--|
| 0                           | No match funding   |
| 10                          | Greater than or equal to 10% but less 20% of PIER funding  |
| 20                          | Greater than or equal to 20% but less 30% of PIER funding  |
| 30                          | Greater than or equal to 30% but less 40% of PIER funding  |
| 40                          | Greater than or equal to 40% but less 50% of PIER funding  |
| 50                          | Greater than or equal to 50% but less 60% of PIER funding  |
| 60                          | Greater than or equal to 60% but less 70% of PIER funding  |
| 70                          | Greater than or equal to 70% but less 80% of PIER funding  |
| 80                          | Greater than or equal to 80% but less 90% of PIER funding  |
| 90                          | Greater than or equal to 90% but less 100% of PIER funding |
| 100                         | Greater than or equal to 100% of PIER funding              |

## **V. Administration**

### **DEFINITION OF KEY WORDS**

Important definitions for this PON are presented below:

| <b>Word/Term</b>  | <b>Definition</b>   |
|-------------------|---|
| State             | State of California   |
| Energy Commission | California Energy Commission  |
| PON               | Program Opportunity Notice, this entire document. A competitive method used to award funding. |
| Application       | Formal written response to this document from Applicant                                       |
| Applicant         | Respondent to this PON  |
| CAM               | Commission Agreement Manager  |
| GO                | Grants Officer  |

### **COST OF DEVELOPING APPLICATION**

The Applicant is responsible for the cost of developing an application. This cost cannot be charged to the State.

### **CONFIDENTIAL INFORMATION**

The Commission will not accept or retain any applications that are marked confidential in their entirety. Applicants are strongly discouraged from requesting confidential treatment for any of the information contained in an application.

### **PON CANCELLATION AND AMENDMENTS**

It is the policy of the Energy Commission not to solicit proposals unless there is a bona fide intention to award an Agreement. However, if it is in the State's best interest, the Energy Commission reserves the right to do any of the following:

- Cancel this PON;
- Revise the amount of funds available under this PON;
- Amend this PON as needed; or
- Reject any or all applications received in response to this PON

If the PON is amended, the Energy Commission will send an addendum to all parties who requested the PON and will also post it on the Energy Commission's website at [www.energy.ca.gov/contracts](http://www.energy.ca.gov/contracts).

## **ERRORS**

If an Applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the PON, the Applicant shall immediately notify the Commission of such error in writing and request modification or clarification of the document. Modifications or clarifications will be given by written notice to all parties who requested the PON, without divulging the source of the request for clarification. The Commission shall not be responsible for failure to correct errors.

## **MODIFYING OR WITHDRAWAL OF APPLICATION**

An Applicant may, by letter to the Contact Person at the Energy Commission, withdraw or modify a submitted application before the deadline to submit applications.

Applications cannot be changed after that date and time. An Application cannot be “timed” to expire on a specific date. For example, a statement such as the following is non-responsive to the PON: “This application and the cost estimate are valid for 60 days.”

## **IMMATERIAL DEFECT**

The Energy Commission may waive any immaterial defect or deviation contained in an application. However, the Energy Commission’s waiver shall in no way modify the application or excuse the successful Applicant from full compliance.

## **DISPOSITION OF APPLICANT’S DOCUMENTS**

On the Notice of Proposed Award posting date, all applications and related material submitted in response to this PON become a part of the property of the State and public record. Applicants who want any work examples submitted with their applications to be returned to them shall make this request and provide either sufficient postage or a Courier Charge Code to fund the cost of returning the examples.

## **APPLICANTS’ ADMONISHMENT**

This PON contains the instructions governing the requirements for a firm quotation to be submitted by interested Applicants, the format in which the technical information is to be submitted, the material to be included, the requirements that must be met to be eligible for consideration, and Applicant responsibilities. Applicants are responsible for carefully reading the entire PON, asking appropriate questions in a timely manner, submitting all required responses in a complete manner by the required date and time, making sure that all procedures and requirements of the PON are followed and appropriately addressed, and carefully rereading the entire PON before submitting an application.

## **GROUND TO REJECT A APPLICATION**

**An Application shall be rejected if:**

- It is received after the exact time and date for receipt of applications as identified in Section 1 (Public Contract Code, Section 10344).
- It contains false or intentionally misleading statements or references which do not support an attribute or condition contended by the Applicant.

- It is intended to erroneously and fallaciously mislead the State in its evaluation of the Application and the attribute, condition, or capability is a requirement of this PON.
- It contains confidential information.
- It is submitted by a Publicly-Owned Utility.
- The Applicant does not agree to the terms and conditions attached to the solicitation either by not signing the Recipient Status Form or by stating anywhere in the bid that acceptance is based on modifications to those terms and conditions or separate terms and conditions.
- The budget does not include a CBE as a recipient or subcontractor.
- ~~The application~~ Attachment B-2 of the budget does not allocate at least 60% of PIER funds to CBEs, in accordance with the budget instructions.
- ~~The~~ Attachment B-2 of the budget does not show that at least 60% of PIER funds will be spent in California, in accordance with the budget instructions.
- The proposed project extends beyond the March 31, 2015 deadline.

**An Application may be rejected if:**

- It is not prepared in the mandatory format described.
- It is unsigned.
- The firm or individual has submitted multiple applications for ~~each~~ the same technical task(s).
- The principal investigator submits more than application per topic area.
- It does not literally comply or contains caveats that conflict with the PON and the variation or deviation is not material, or it is otherwise non-responsive.
- The bidder has previously completed a PIER agreement, received the PIER Royalty Review letter (which the Commission annually sends out to remind past recipients of their obligations to pay royalties), and has not responded to the letter or is otherwise not in compliance with repaying royalties.
- The budget forms are not filled out completely.

**AGREEMENT REQUIREMENTS**

- The content of this PON will be incorporated by reference into the final agreement. See the Agreement terms and conditions at <http://www.energy.ca.gov/contracts/index.html>. The Energy Commission reserves the right to negotiate with Applicants to modify the project scope, the level of funding, or both. If the Energy Commission is unable to successfully negotiate and execute a funding agreement with an Applicant, the Energy Commission, at its sole discretion, reserves the right to cancel the pending award and fund the next highest ranked eligible project.
- The Grant Agreement will be scheduled and heard at an Energy Commission Business Meeting for approval.



- Public agencies that receive funding under this solicitation must provide an authorizing resolution approved by their governing authority to enter into an Agreement with the Energy Commission and designates an authorized representative to sign the Agreement.
- The Energy Commission will send the approved Grant Agreement, including the general Terms and Conditions and any additional terms and conditions, to the grant recipient for review, approval, and signature. Once the grant recipient signs, the Energy Commission will fully execute the Grant Agreement. Recipients are approved to begin the project only after full execution of the Grant Agreement.

## **NO AGREEMENT UNTIL SIGNED AND APPROVED**

No agreement between the Commission and the successful Applicant is in effect until the agreement is signed by the Recipient, approved at a Commission Business Meeting, and signed by the Energy Commission representative.

The Energy Commission reserves the right to modify the award documents prior to executing the Agreement.

## **AGREEMENT AMENDMENT**

The agreement executed as a result of this PON may be amended by mutual consent of the Commission and the Recipient. The agreement may require amendment as a result of project review, changes and additions, changes in project scope, or availability of funding.

## **PAYMENT OF PREVAILING WAGES**

Some projects under this solicitation might be considered public works pursuant to the California Labor Code. If the project is a public work, prevailing wage is required. The California Department of Industrial Relations (DIR) has jurisdiction to decide whether a particular project is a public work. If the project involves construction, alteration, demolition, installation, repair or maintenance work, it probably would be considered by DIR to be a public work. Examples of the activities that would probably lead DIR to find that the project involves public works include: cement work, site preparation such as grading, surveying, electrical work such as wiring, and carpentry work. Certain workers are entitled to prevailing wage, such as operating engineers, surveyors, carpenters, laborers, etc. However, other workers are not subject to State prevailing wage laws, such as design or pre-construction engineers or project superintendent who do not perform work on the projects.

Applicants must determine if the proposed project(s) involve(s) public works, and ensure that the project budget for labor reflects all prevailing wage requirements. The budget should indicate which job classifications are subject to prevailing wage.

In order to determine if the proposed project(s) involve(s) public works, please contact DIR as advised in Attachment 6. If the Applicant is unsure whether the proposed project(s) involve(s) public works and has not received a determination from DIR that the project is not a public work, the Applicant is advised to prepare a budget assuming that prevailing wage laws apply.

If the proposed project is a public work, or is assumed to be a public work, the Applicant can contact DIR for a list of covered trades and the applicable prevailing wage. Any agreement resulting from this solicitation will include the requirements for a public works project, such as paying prevailing wage, keeping payroll records, complying with working hour requirements, and apprenticeship obligations. See the sample terms and conditions, the Special Condition regarding Prevailing Wage Compliance (Attachment 4) and Prevailing Wage Compliance Certification Form (Attachment 5).

For detailed information about prevailing wage and the process to determine if the proposed project(s) is a public work, see the Prevailing Wage Compliance Questions and Answers (Attachment 6).